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| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | Attorney Docket No.   | 2968-204           |
|   | First Inventor  | Jacqueline J. SHAN |
|   | Title PROCESSES OF MAKING NORTH AMERICAN GINSENG<br>FRACTIONS, PRODUCTS CONTAINING THEM, AND USE AS<br>IMMUNOMODULATORS |                    |

☒ **Applicant for Published Patent Application:** C.V. Technologies, Inc., Edmonton, CANADA

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| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents. | <b>ADDRESS TO:</b> Assistant Commissioner of Patents<br>Box Patent Application<br>Washington, D.C. 20231 |
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|   |  |
|---|--|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form<br><i>(Submit an original, and a duplicate for fee processing)</i><br>2. <input checked="" type="checkbox"/> Applicant claims small entity status.<br>3. <input checked="" type="checkbox"/> Specification Total pages [49]<br><i>(preferred arrangement set forth below)</i><br>- Descriptive title of the invention<br>- Cross references to Related Applications<br>- Statement Regarding Fed sponsored R&D<br>- Reference to sequence listing, a table or a computer program listing appendix<br>- Background of the Invention<br>- Brief Summary of the Invention<br>- Brief Description of the Drawings<br>- Detailed Description<br>- Claims<br>- Abstract of the Disclosure<br>4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) (Total Sheets) [11]<br>5. <input checked="" type="checkbox"/> Oath or Declaration (Total Pages) [2]<br>a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input checked="" type="checkbox"/> Copy from a prior application<br>(37 CFR 1.63(d))<br>(for continuation/divisional with Box 17 completed)<br><b>[Note Box 5 below]</b><br>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br>Signed statement attached deleting<br>inventor(s) named in the prior application,<br>6. <input checked="" type="checkbox"/> Application Data Sheet. | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table<br>or Computer Program<br>8. Nucleotide and/or Amino Acid Sequence Submission<br>a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br>ii. <input type="checkbox"/> paper<br>c. <input type="checkbox"/> Statement verifying identity of above copies<br><br><b>ACCOMPANYING APPLICATION PARTS</b><br>9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement<br><i>(when there is an assignee)</i><br><input type="checkbox"/> Power of Attorney<br>11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i><br>12. <input checked="" type="checkbox"/> Information Disclosure Statement /PTO 1449<br><input type="checkbox"/> Copies of IDS Citations<br>13. <input checked="" type="checkbox"/> Preliminary Amendment<br>14. <input type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><i>(Should be specifically itemized)</i><br>15. <input type="checkbox"/> Certified Copy of Priority Document(s).<br>16. <input type="checkbox"/> Request and Certification under 35 U.S.C.<br>122(b)(2)(B)(i).<br>17. <input type="checkbox"/> Other: |
|---|--|

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below or in an application Data Sheet under 37 CFR 1.76::

X Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 10/186,733  
 Prior application information: Examiner Christopher R. Tate Group/Art Unit 1654  
 For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

☒ Customer Number or Bar Code Label 6449

|           |   |           |              |          |              |
|-----------|---|-----------|--------------|----------|--------------|
| Address   | Rothwell, Figg, Ernst & Manbeck<br>Suite 800, 1425 K Street, N.W. |           |              |          |              |
| City      | Washington  | State     | D.C.         | Zip Code | 20005        |
| Country   | U.S.A.  | Telephone | 202-783-6040 | Fax      | 202-783-6031 |
| Name      | Robert B. Murray, Reg. No. 22,980                                 |           |              |          |              |
| Signature | Robert B. Murray  |           |              | Date     | Oct 23, 2003 |

16834 US PTO  
10/690628  
102303

3281 U.S. PTO

# **FEE TRANSMITTAL for FY 2003 (Small Entity)**

Complete if Known

|   |             |                        |  |
|---|-------------|------------------------|--|
| <b>FEE TRANSMITTAL<br/>for FY 2003<br/>(Small Entity)</b> |             | Application Number     | Continuation Application of 10/186,733 |
|   |             | Filing Date            | Herewith                               |
|   |             | First Named Inventor   | Jacqueline J. SHAN et al.              |
|   |             | Examiner Name          | Christopher R. Tate                    |
|   |             | Group Art Unit         | 1654                                   |
| Total Amount of Payment                                   | (\$ 514.00) | Attorney Docket Number | 2968-204                               |

## **METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge additional fees and credit any overpayment to Deposit Account Number 02-2135 in the name of Rothwell, Figg, Ernst & Manbeck

☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status.

2. ☒ Payment Enclosed:

☒ Check

☐ Credit Card

## **FEE CALCULATION**

### **1. FILING FEE**

| Fee Code | Fee \$ | Fee Description        | Fee Paid |
|----------|--------|------------------------|----------|
| 2001     | 385    | Utility filing fee     | [ 385 ]  |
| 2002     | 170    | Design Filing Fee      | [ ]      |
| 2003     | 265    | Plant Filing Fee       | [ ]      |
| 2004     | 385    | Reissue Filing Fee     | [ ]      |
| 2005     | 80     | Provisional Filing Fee | [ ]      |

**SUBTOTAL \$**

### **2. CLAIMS**

| Total Claims | Independent Claims | Multiple Dependent Claims | Extra Claims | Fee    | Fee Paid |
|--------------|--------------------|---------------------------|--------------|--------|----------|
| [ 8 ]        | - 20** = [ 0 ]     | x                         |              | \$ 9 = | [ ]      |
|              | [ 6 ]              | - 3** = [ 3 ]             | x            | 43 =   | [ 129 ]  |
|              |                    | +                         |              | 145 =  | [ ]      |

\*\*or number previously paid, if greater;

**SUBTOTAL \$514**


## **FEE CALCULATION (continued)**

### **3. ADDITIONAL FEES**

| Fee Code            | Fee Paid | Fee Description  | Fee Paid |
|---------------------|----------|--|----------|
| 2051                | 65       | Surcharge - late filing fee or oath  | [ ]      |
| 2052                | 25       | Surcharge - late provisional filing fee or cover sheet                     | [ ]      |
| 1053                | 130      | Non-English specification  | [ ]      |
| 1812                | 2,520    | For filing a request for reexamination                                     | [ ]      |
| 1804                | 920      | Requesting publication of SIR prior to Examiner action                     | [ ]      |
| 1805                | 1,840*   | Requesting publication of SIR after Examiner action                        | [ ]      |
| 2251                | 55       | Extension for reply within first month                                     | [ ]      |
| 2252                | 210      | Extension for reply within second month                                    | [ ]      |
| 2253                | 475      | Extension for reply within third month                                     | [ ]      |
| 2254                | 740      | Extension for reply within fourth month                                    | [ ]      |
| 2255                | 1,005    | Extension for reply within fifth month                                     | [ ]      |
| 2401                | 165      | Notice of Appeal   | [ ]      |
| 2402                | 165      | Filing a brief in support of an appeal                                     | [ ]      |
| 2403                | 145      | Request for Oral Hearing   | [ ]      |
| 1451                | 1,510    | Petition to institute a public use proceeding                              | [ ]      |
| 2452                | 55       | Petition to revive -unavoidable  | [ ]      |
| 2453                | 475      | Petition to revive - unintentional   | [ ]      |
| 2501                | 665      | Utility issue fee (or reissue)   | [ ]      |
| 2502                | 240      | Design issue fee   | [ ]      |
| 2503                | 320      | Plant issue fee  | [ ]      |
| 1460                | 130      | Petitions to the Commissioner  | [ ]      |
| 1807                | 50       | Processing fee under 37 CFR 1.17(q)  | [ ]      |
| 1806                | 180      | Submission of Information Disclosure Statement                             | [ ]      |
| 8021                | 40       | Recording each patent assignment per property (times number of properties) | [ ]      |
| 2809                | 385      | Filing a submission after final rejection (37 CFR .129(a))                 | [ ]      |
| 2810                | 385      | For each additional invention to be examined (37 CFR 1.129(b))             | [ ]      |
| 2801                | 385      | Request for Continued Examination (RCE)                                    | [ ]      |
| 1802                | 900      | Request for expedited examination of a design application                  | [ ]      |
| 1504                | 300      | Publication fee for early, voluntary, or normal publication                | [ ]      |
| 1505                | 300      | Publication fee for republication  | [ ]      |
| 1455                | 200      | Filing an application for patent term adjustment                           | [ ]      |
| 1456                | 400      | Request for reinstatement of term reduced                                  | [ ]      |
| Other fee (specify) |          |  | [ ]      |

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL \$**

|   |                                  |                          |  |
|---|----------------------------------|--------------------------|--|
| SUBMITTED BY  |                                  | Complete (if applicable) |  |
| NAME AND REG. NUMBER  | Robert B. Murray Reg. No. 22,980 |                          |  |
| SIGNATURE   | DATE                             | DEPOSIT ACCOUNT USER ID  |  |
|  | Oct 23, 2003                     |                          |  |